Department of the Army	***FH Memorandum 25-54**
United States Army Intelligence Center	
and Fort Huachuca	
Fort Huachuca, Arizona 85613-6000	

17 April 1999

Information Management: Records Management

RECORDS MANAGEMENT PROGRAM

_____

Summary. This memorandum prescribes procedures for the management of U.S. Army Intelligence Center and Fort Huachuca (USAIC&FH) records management program.

Applicability. This memorandum applies to all elements of the USAIC&FH, Fort Huachuca, Arizona.

Suggested improvements. The proponent of this memorandum is the Directorate of Information Management (DOIM), USAIC&FH. Users may send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publication and Blank Forms) through channels to Commander, USAIC&FH, ATTN: ATZS-IMC-SR, Fort Huachuca, AZ 85613-6000.

_____

Contents

_____

*This memorandum supersedes U.S. Army Intelligence Center and Fort Huachuca Memorandum 25-54, 10 September 1998.

1. Purpose.

This memorandum establishes responsibilities and procedures for the Records Management Program.

2. References.

Required and related publications and referenced forms are listed in Appendix A.

3. Explanation of abbreviations and terms.

Abbreviations are explained in the glossary.

4. Responsibilities.

　　a. In accordance with AR 25-1, the Director of Information Management, USAIC&FH is responsible for the records management program. The Records Manager, Information Support Services Branch (ISSB), DOIM administers the program.

　　b. Directors or staff office chiefs will--

　　　　(1) Ensure records within their organization are maintained and disposed of in accordance with referenced publications.

　　　　(2) Designate a primary and alternate Records Management Coordinator (RMC) to perform all records management functions for their directorate. Additional personnel within the directorate may be authorized to sign for the RMC. Submit office symbol, name, phone number, facsimile number, and electronic mail address. Include the area of responsibility, if applicable, of the individuals delegated this authority to ISSB, ATTN: ATZS-IMC-SR. Changes should be submitted as they occur.

　　c. Records Management Coordinators will serve as liaisons between the ISSB and their directorate or staff office. Specific responsibilities are as follows--

　　　　(1) Forms Management. The RMC will review and sign off on all DD Forms 67 (Form Processing Action Request). The RMC will forward all DD Forms 67 to ISSB for approval and design.

　　　　(2) Records Management. The RMC serves as the point of contact (POC) during records management evaluations and other records management issues. The RMC reviews file lists and office symbol requests for their directorate or staff office prior to forwarding to the ISSB for approval. The RMC will review and sign the SF 135 (Records Transmittal and Receipt) when transferring records to the Records Holding Area (RHA).

　　　　(3)   Scan short-term (4 to 10 years) hard-copy records into the Paperless Office software. Records will be automatically stored in the pre-set file structure for storing records, using the same

method used or storing hard-copy records. Records are physically stored electronically on CD-ROM and maintained by RHA personnel.

(4) Copier Management. In response to the Monthly Copier Report (Requirement Control Symbol ATZS-IM-1), the RMC submits copier meter readings at the end of each month for all copiers within their directorate or staff office. The RMC ensures requests to procure copiers are submitted through the ISSB through normal procurement channels. The RMC notifies ISSB of excess copiers or abuse and coordinates requests to move copiers.

(5) Management Information Control System (Reports Control). The RMC should be aware of all reports required by their directorate and the reports the directorate is required to respond to.

(6) Freedom of Information Act (FOIA) Requests. The RMC serves as the POC to ensure correct and prompt handling of these requests.

(7) Official Mail and Distribution. The RMC will be appointed as Official Mail Manager for their directorate. Responsibilities in this area include supervising directorate or staff office mail and distribution practices, ensuring directorate or staff office personnel know when and how to contact the directorate or staff office Official Mail Manager, and reporting suspected misuse of official mail and distribution to the USAIC&FH Official Mail Center.

(8) The RMC serves as liaison in Correspondence Management, Privacy Act, and Publications Management Programs.

5. Files management.

a. A list of file numbers will be prepared as shown in table 5-1, AR 25-400-2. Each office maintaining records will forward one completed copy of their list through their appointed RMC to the ISSB, ATTN: ATZS-IMC-SR for review and approval. One copy of the latest approved files list will be maintained under file number 1a in each functional area.

b. Offices maintaining their files on a fiscal year basis will submit updated files lists prior to 31 October.

c. Offices maintaining their files on a calendar year basis will submit updated files lists prior to 31 January.

d. File numbers will not be used unless listed in AR 25-400-2 or approved in writing by the ISSB. If a suitable file number cannot be located in AR 25-400-2 and the General Correspondence file number is not appropriate, contact the RMC for assistance. The RMC should contact the ISSB personnel prior to submitting a request for a new file number.

e. Requests to microfilm records will be submitted in accordance with FH Regulation 25-50.

    f. When transferring files between staff elements, the losing element will furnish the gaining element, within 10 days following the transfer, the information mentioned below to ISSB.

        (1) One copy of the document directing the transfer.

        (2) A list of file numbers.

        (3) A listing of associated equipment being transferred to maintain the files.

    g. Inactive records may be transferred to the RHA upon transfer of function.

    h. Requests for early retirement of records to the RHA will be submitted to ISSB. Include a justification for the early retirement and volume of records to be transferred.

6. Records management evaluations.

    a. Records management evaluations will be conducted by the ISSB personnel every 3 years to assess the records management program of USAIC&FH staff elements. The evaluation is a tool for the DOIM to assist your organization in saving scarce resources through efficient administrative procedures. A schedule of the evaluations will be published annually. You will receive notification by memorandum 30 days prior to the evaluation visit.

    b. The areas to be reviewed are maintenance and disposition of records, correspondence, forms and publications management, copier management, official mail and distribution management, application and maintenance of the Freedom of Information and Privacy Acts Programs, and Management Information Control System (reports control).

    c. The ISSB personnel will conduct entrance and exit briefings with directors or staff office chiefs or their representatives.

    d. The self-evaluation checklist at Appendix B should be used to prepare for the evaluation. Using the checklist will assist your directorate in making a preliminary assessment of the status of your records management program, identifying major problems, and settling priorities for program improvements. The checklist is based on the "GO or NO GO" principle of evaluation. A "NO" reply to a question that is applicable to your organization indicates a weakness in the program.

    e. Evaluation results are provided in writing within 10 days with the overall assessment of either satisfactory or unsatisfactory and recommendations. Unsatisfactory assessments may require follow-up visits depending on the severity of the problem. A copy of the results will be maintained under file number 25-1h by the ISSB and 25-1g by the office evaluated.

Appendix A
References

Section I
Required Publications

AR 25-1
The Army Information Resources Management Program

AR 25-30
The Army Integrated Publishing and Printing Program

AR 25-400-2
The Modern Army Recordkeeping System (MARKS)

AR 340-21
The Army Privacy Program

DOD 5400.7-R
Department of Defense Freedom of Information Act Program

FH Memorandum 25-50
Freedom of Information Act Program

FH Regulation 25-50
Micrographics Management

Section II
Related Publications

AR 25-51
Official Mail and Distribution Management

AR 25-55
The Department of the Army Freedom of Information Act Program (This AR was superseded by DOD 5400.7-R; to date a new AR has not been published.)

TRADOC Pamphlet 25-54
Records Management Self-Evaluation Guide

Additional related references are listed in AR 25-400-2, Appendix A.

FH Memo 25-54

Section III
Referenced Forms

DA Form 2028
Recommended Changes to Publication and Blank Forms

DD Form 67
Form Processing Action Request

FH Form 25-4-R-E
Monthly Copier Report

FH Overprint 56 of TRADOC Form 876-R
Privacy Act Information for Desk Top

SF 135
Records Transmittal and Receipt

Appendix B
Records Management Self-Evaluation Checklist

Records Management (AR 25-1)

1. Has a RMC been appointed for your organization? (FH Memo 25-54)

2. Is your last Records Management survey report on file and available for review? (AR 25-400-2, file number 25-1g)

3. Are applicable directives available to all personnel?

Freedom of Information Act (FOIA) Program

1. Are all personnel familiar with the FOIA?

2. Are FOIA requests handcarried to the FOIA Office for processing? (FH Memo 25-50)

3. Are FOIA requests processed within 20 working days from date received as required by law?

4. Are records denied only by properly delegated Initial Denial Authorities (IDAs)?

5. Are rules governing "For Official Use Only" information understood and properly applied by personnel?

6. Have all personnel attended a FOIA training session?

7. Do personnel know that a "no record" response to a FOIA constitutes a denial and must be submitted to the appropriate IDA?

Management Information Control System (Reports Control) (AR 335-15)

1. Do you have a list on file of recurring information requirements (reports) for which your organization is the proponent and/or preparing agency? (AR 335-15, paragraph 1-7d(1b))

2. Are approved DA Forms 335-R (Application for Approval of Management Information Requirement) on file for all information requirements initiated by your directorate? (AR 335-15, paragraph 2-3)

Privacy Act Program (AR 340-21)

1. Are records containing personal information safeguarded at all times from personnel not authorized access to such information? (AR 340-21, paragraph 1-5)

2. Is an accounting of disclosure maintained when a record covered by a Privacy Act system notice is disclosed to a third party? (AR 340-21, paragraph 3-4)

3. Are requests for information under the Privacy Act reported to the DOIM annually for the Privacy Act Report? (AR 340-21, paragraph 4-7)

4. Is FH Overprint 56 of TRADOC Form 876-R (Privacy Act Information for Desk Top) available to all personnel?

5. Are individuals permitted to amend records about themselves contained in a system of records, which they can prove are factually in error, not up-to-date, not complete, or not relevant?

6. Are all requests promptly, accurately, and fairly acted on?

7. Are all personnel aware of the civil and criminal sanctions which may be imposed against them for violating the provisions of the Army Privacy Program? (AR 340-21, paragraphs 1-5 and 4-9)

Equipment Management--Files Equipment (AR 25-1)

1. Are approvals for automated retrieval systems (software or hardware) on file for review?

2. Is the ISSB notified prior to turning in or disposing of automated retrieval systems?

Equipment Management--Office Copiers (AR 25-30)

1. Do you have approval documentation on file (MARKS file number 1q) for your copier? (AR 25-30, paragraph 11-41)

2. Are your directorate copiers located in centralized areas for maximum usage?

3. Are warning posters conspicuously posted around the copier? (AR 25-30, paragraph 11-49c(3))

4. Is the Print Plant used for reproduction jobs requiring more than 25 copies per original? (AR 25-30, paragraph 11-47)

5. Is ISSB notified prior to moving or turning in copiers? (AR 25-30, paragraph 11-43b)

6. Is a FH Form 25-4-R-E (Monthly Copier Report) being submitted to ISSB? Each directorate's RMC must consolidate the meter readings and submit them to ISSB monthly on a FH Form 25-4-R-E.

Correspondence Management (AR 25-50)

1. Is there a program in effect for emphasizing consistent high quality preparation of correspondence? (AR 25-50, paragraph 1-42)

2. Are approved office symbols used on all correspondence? (AR 25-50, paragraph 1-31)

3. Are Modern Army Recordkeeping System (MARKS) file numbers assigned to memorandums and endorsements at the time they are created? (AR 25-50, paragraph 2-4a(2))

4. Is correspondence reviewed and signed in a timely manner? (AR 25-50, paragraph 1-15)

5. Are acronyms used appropriately? (AR 25-50, paragraph 1-22)

6. Are you using the letterhead template?

Official Mail and Distribution Management (AR 25-51)

1. Is official mail used only for authorized material? (AR 25-51, paragraph 2-21)

2. Is there a central point for incoming and outgoing mail and distribution for your organization?

3. Are memorandums authorizing personnel to receipt for accountable mail current and updated as needed?

4. Are special mail services used sparingly and appropriately? (AR 25-51, paragraph 2-20)

5. Are personnel receiving training on mail and distribution procedures? (AR 25-51, paragraph 1-6(b))

6. Is the smallest envelope being used for mailing unless contents warrant otherwise? (AR 25-51, paragraph 2-11a)

7. Is mail being sent at the most cost-effective method? (paragraph 2-5d)

8. Is "Official Business" being stamped, typed or written on all official outgoing mail? (AR 25-51, paragraph 2-12, fig 2-5)

Files Management--Modern Army Recordkeeping System (AR 25-400-2)

1. Do personnel understand the basic principles of MARKS?

2. Has MARKS been applied to all unclassified and classified files? (AR 25-400-2, paragraph 1-6)

3. Are unidentified files brought to the attention of the RMC and the records manager? (AR 25-400-2, paragraph 2-2)

4. Are classified files segregated from unclassified files? (AR 25-400-2, paragraph 5-10)

5. Are lists of file numbers prepared in accordance with AR 25-400-2, paragraph 5-13? Are the lists--

    a. Approved by the Records Management Office?

    b. On file and available for use by personnel to facilitate files retrieval?

6. Are dummy folders used to facilitate file retrieval and maintenance? (AR 25-400-2, paragraph 6-2)

7. When exceptions are granted, do files bear the written exception on the file labels and are the exceptions on file for review? (AR 25-400-2, paragraph 6-2f and file number 25-400-2d)

8. Are file folders, file drawers, disks, microfiche envelopes, and filing equipment properly labeled? (AR 25-400-2, Fig 6-4)

9. Are eligible files moved from the active file and placed in the inactive file upon the completion of action and properly retained for the prescribed retention period of the file? (AR 25-400-2, paragraph 7-1(b))

10. Are eligible files cutoff and reviewed annually? (AR 25-400-2, paragraph 7-2)

11. Are files eligible for destruction, transfer to RHA, or retirement to Federal Records Center moved from current files area (CFA) as scheduled? (AR 25-400-2, table 7-1)

12. Are charge-out forms used for records removed from the file cabinet or approved storage facility? (AR 25-400-2, paragraph 8-3)

13. Are SFs 135 (Records Transmittal and Receipt) documenting files transferred to the RHA maintained under file number 1g?

14. Do the files document the housekeeping and primary mission of your organization?

15. Are all records stored in file cabinets in the CFA?

Forms Management (AR 25-30)

1. Are all new and revised forms routed through your RMC prior to submitting to the Forms Management Officer, ISSB?

2. Are accountable forms stored and transported as prescribed for CONFIDENTIAL material to avoid theft and fraudulent use? (AR 25-30, paragraph 12-22)

3. Do forms requesting personal information have approved Privacy Act statements?

4. Do you download electronic forms from the World Wide Web as they are needed?

5. Have you updated your publications account to receive copies of electronic departmental forms?

Publications Management (AR 25-30)

1. Are publications accounts inventoried and updated yearly?

2. Do personnel assigned the duties of publications clerks receive training?

Glossary

AR
Army Regulation

CFA
current files area

DA
Department of the Army

DD Form
Department of Defense Form

DOD
Department of Defense

DOIM
Directorate of Information Management

FH
Fort Huachuca

FOIA
Freedom of Information Act

IDA
Initial Denial Authority

ISSB
Information Support Services Branch

MARKS
The Modern Army Recordkeeping System

POC
point of contact

RHA
Records Holding Area

RMC
Records Management Coordinator

SF
Standard Form

TRADOC
U.S. Army Training and Doctrine Command

USAIC&FH
U.S. Army Intelligence Center and Fort Huachuca

(ATZS-IMC-SR)

OFFICIAL:
JOHN D. THOMAS, JR.
Major General, USA
Commanding

DELFORD D. HORTON
Director of Information Management

DISTRIBUTION:
U
SPECIAL DISTRIBUTION:
ATZS-IMC-SP (5)
ATZS-IMC-SR (4)